



PTO/SB/21 (05-03)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/698,227
Filing Date	October 31, 2003
First Named Inventor	EHF Wong, et al.
Art Unit	1614
Examiner Name	not available
Attorney Docket Number	00400.US1

Total Number of Pages in This Submission

**ENCLOSURES (Check all that apply)**

- |  |   |  |
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| <input checked="" type="checkbox"/> Fee Transmittal Form                     | <input type="checkbox"/> Drawing(s)                                       | <input type="checkbox"/> After Allowance communication to Group                            |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Licensing-related Papers                         | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Amendment/Reply                                     | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Power of Attorney, Revocation                    | <input type="checkbox"/> Status Letter   |
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| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer                              | A return-receipt postcard is enclosed.   |
| <input checked="" type="checkbox"/> Information Disclosure Statement         | <input type="checkbox"/> Request for Refund                               |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <input type="checkbox"/> CD, Number of CD(s) _____                        |  |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application    | Remarks   |  |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |  |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Pharmacia & Upjohn Company, Mary J. Hosley (48,324)
Signature	<i>Mary J. Hosley</i>
Date	1 April 2004

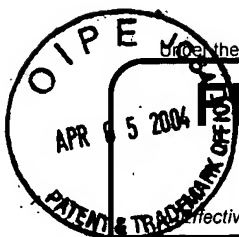
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Typed or printed name	Julie K. Lyons		
Signature	<i>Julie K Lyons</i>	Date	4/1/04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**FREE TRANSMITTAL**  
**for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$)** 180.00**Complete if Known**

Application Number	10/698,227
Filing Date	October 31, 2003
First Named Inventor	DW Piotrowski, et al.
Examiner Name	
Art Unit	1614
Attorney Docket No.	00400.US1

**METHOD OF PAYMENT** (check all that apply)☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit  
Account  
Number  
Deposit  
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21-0718

Pharmacia &amp; Upjohn Company

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee  
to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>(\$) 0.00</b>

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** = 0	X \$0.00	= \$0.00
Multiple Dependent	-3** = 0	X \$0.00	= \$0.00
		\$0.00	= \$0.00

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 180.00**SUBMITTED BY**

(Complete (if applicable))

Name (Print/Type)	Mary J. Hosley	Registration No. (Attorney/Agent)	48,324	Telephone	(269) 833-0975
Signature	<i>Mary J. Hosley</i>	Date	1 April 2004		

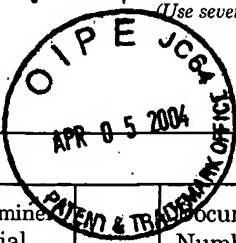
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04/01/2004 5:11PM 10698227 100.00 DA

LIST OF REFERENCES CITED BY APPLICANT <i>(Use several sheets if necessary)</i>				Atty. Docket No. 00400.US1		Serial No. 10/698,227	
				Applicant EHF Wong, et. al.			
				Filing Date 10/31/03		Group 1614	
U.S. PATENT DOCUMENTS							
Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
	AA	6,441,049	27 Aug 2002	ABReitz, et al	514	657	
	AB	2002-0016334	7 Feb 2002	JWCoe, et al	514	303	
	AC	6,054,464	25 Apr 2000	John Macor, et al	514	299	
	AD	5,998,429	7 Dec 1999	Macor et al	514	299	
	AE	5,977,144	2 Nov 1999	Edwin Meyer, et al	514	334	
	AF	5,750,536	12 May 1998	Marco Mantovanini, et al	514	300	
	AG	5,599,937	4 Feb 1997	Gunilla Glas, et al	546	133	
	AH	5,561,149	1 Oct 1996	Moise Azria, et al	514	397	
	AI	5,556,851	17 Sept 1996	Akira Maruyama et al	514	214	
	AJ	5,543,426	6 Aug 1996	A. K. Dixon, et al	514	410	
	AK	5,510,478	23 Apr 1996	Annmarie L. Sabb	540	585	
	AL	5,434,161	18 Jul 1995	Daniel P. Becker	514	300	
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	AN	5,362,734	8 Nov 1994	Terrence J. Ward, et al	514	294	
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	AP	5,342,845	30 Aug 1994	Chokal et al.	514	305	
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	AR	5,300,512	5 Apr 1994	Flynn et al	514	305	
	AS	5,273,972	28 Dec 1993	Jagdman et al	514	210	
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	AV	5,246,942	21 Sept 1993	Youssefyeh et al	514	305	
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	AY	5,175,173	29 Dec 1992	Sun	514	305	
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	BB	5,049,556	17 Sep 1991	King et al	514	183	
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LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)				Atty. Docket No. 00400.US1		Serial No. 10/698,227	
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	BD	5,001,133	15 Jan 1991	Richardson et al	514	304	
	BE	4,985,437	15 Jan 1991	Tyers	514	304	
	BF	4,983,600	8 Jan 1991	Ward et al	514	214	
	BG	4,973,594	17 Nov 1990	Tyers	514	299	
	BH	4,937,247	26 June 1990	King	514	299	
	BI	4,935,511	19 June 1990	Youssefyeh et al	540	552	
	BJ	4,933,445	12 June 1990	Pelletier et al	540	552	
	BK	4,924,010	8 May 1990	Youssefyeh et al	549	355	
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	BN	4,920,219	14 Apr 1990	Pelletier et al	540	523	
	BO	4,920,127	24 Apr 1990	King	514	278	
	BP	4,910,193	20 Mar 1990	Buchheit	514	216	
	BQ	4,888,353	19 Dec 1989	Lednicer et al	514	422	
	BR	4,882,327	21 Nov 1989	King	514	214	
	BS	4,863,921	5 Sep 1989	Youssefyeh et al	514	230	
	BT	4,863,919	5 Sep 1989	Smith	514	214	
	BU	4,845,092	4 Jul 1989	GJ Sanger et al	514	216	
	BV	4,835,162	30 May 1989	Abood	514	305	
	BW	4,822,795	18 Apr 1989	King	514	214	
	BX	4,803,199	7 Feb 1989	Donatsch et al	514	214	
	BY	4,798,829	17 Jan 1989	King et al	514	214	
	BZ	4,797,406	10 Jan 1989	Richardson et al	514	299	
	CA	4,721,720	26 Jan 1988	Wootton et al	514	304	
	CB	4,612,319	16 Sep 1986	King	514	305	
	CC	4,605,652	12 August 1986	William J. Welstead, Jr	514	214	
FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Subclass	Translation
							Yes No
	CD	WO03/055878A1	10 July 2003	PCT	C07D	453/02	See Eng. Language abstract
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LIST OF REFERENCES CITED BY APPLICANT  (Use several sheets if necessary)				Atty. Docket No.		Serial No.		
				00400.US1		10/698,227		
				Applicant EHF Wong, et. al.				
				Filing Date 10/31/03		Group 1614		
	CF	WO 02/085901	31 Oct 2002	PCT	C07D	453/02		
	CG	WO 01/76576 A2	18 Oct 2001	PCT	A61K	31/00		
	CH	WO 01/60821 A1	23 Aug 2001	PCT	C07D	453/02		
	CI	WO 01/36417 A1	25 May 2001	PCT	C07D	451/04		
	CJ	WO 01/29034	1 Dec 2000	PCT	C07D	453/02		
	CK	WO 00/73431 A2	7 Dec 2000	PCT	C12N	15/00		
	CL	WO 99/20633	29 Apr 1999	PCT	C07D	519/00	See Eng. Language abstract	
	CM	WO 98/54181	3 Dec 1998	PCT	C07D	451/02		
	CN	WO 97/35860	2 Oct 1997	PCT	C07D	451/14	See Eng. Language abstract	
	CO	WO 96/33186	24 Oct 1996	PCT	C07D	307/79		
	CP	WO 95/27490	19 Oct 1995	PCT	A61K	31/445		
	CQ	WO 95/04742	16 Feb 1995	PCT	C07D	519/00		
	CR	WO 93/09116	13 May 1993	PCT	C07D	453/02	See Eng. language abstract	
	CS	WO 93/06108	1 Apr 1993	PCT	C07D	498/04		
	CT	WO 92/10494	25 Jun 1992	PCT	C07D	451/00		
	CU	WO 91/17161	14 Nov 1991	PCT	C07D	451/14		
	CV	WO 91/09593	20 Dec 1990	PCT	A61K	31/00		
	CW	WO 90/14347	29 Nov 1990	PCT	C07D	453/02		
	CX	EP 0635508	25 Jan 1995	Europe	C07D	495/04		
	CY	EP 0 512 350 A2	11 Nov 1992	Europe	C07D	453/02	X	
	CZ	EP0496064 A1	29 Jul 1992	Europe	C07D	405/12		
	DA	EP 0485962A2	20 May 1992	Europe	C07D	519/00		
	DB	EP0483 836A1	6 May 1992	Europe	C07D	519/00		
	DC	EP0457243A1	21 Nov 1991	Europe	C07D	451/04		
	DE	EP0322016A1	28 Jun 1989	Europe	C07D	519/00		
	DF	EP 0030254B1	12 Jun 1981	Europe	C07D	471/04		
	DG	DE3810552A1	29 March 1988	Germany	C07D	451/12	X	
	DH	JP200230084 [abstract]	12 August 2003	Japan	C08F	279/02		

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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<b>LIST OF REFERENCES CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>		Atty. Docket No.	Serial No.
		00400.US1	10/698,227
		Applicant	EHF Wong, et. al.
		Filing Date	10/31/03
		Group	1614
	DJ	Bencherif, M., <i>Journal of Pharmacology and Experimental Therapeutics</i> , 03(1998) 886-896.	
	DK	Cooper and Millar, <i>J. Neurochem</i> , 1997, 68(5), pp. 2140-51	
	DL	Eisele et al., <i>Chimaeric nicotinic-serotonergic receptor combines distinct ligand binding and channel specificities</i> , <i>Nature</i> , 366(6454), pp. 479-83, 1993	
	DM	Hansen, et al, <i>Bioorg. &amp; Med. Chem. Lett</i> 4 (1994) 695-698	
	DN	Holladay, et al, <i>Journal of Medicinal Chemistry</i> , Vol. 40, Number 26 , 4169-4194, XP-002124847	
	DO	W.R. Kem, <i>The brain <math>\alpha 7</math> nicotinic receptor may be an important therapeutic target for the treatment of Alzheimer's disease: studies with DMXB A (GTS-21)</i> , <i>Behavioural Brain Research</i> 113 (2000) pp. 169-181	
	DP	J.E.Macor, et al, <i>The 5-HT Antagonist Tropiestron (ICS 205-930) is a Potent and Selective <math>\alpha 7</math> Nicotinic Receptor Partial Agonist</i> , <i>Biorganic &amp; Medicinal Chemistry Letters</i> 11 (2001). Pp 319-321	
	DQ	A Orjales, et. al., <i>Benzimidazole-2-carboxylic acid amides and esters: a new structural class of 5-HT<sub>3</sub> ligands</i> , <i>Eur. J. Med. Chem.</i> 34(1999) pp. 415-422.	
	DR	Sabb, et al, <i>Bioorg. &amp; Med. Chem. Lett</i> 9 (1999) 1895-1900	
Examiner		Date Considered	